



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Shigenori Aoki, *et al.*

Serial No.: 10/761,619

Filed: January 21, 2004

For: VARIABLE OPTICAL ATTENUATOR
HAVING A WAVEGUIDE AND AN OPTICALLY
COUPLED LAYER WITH A POWER MONITOR

Art Group Unit: Unknown

Examiner: Unknown

Attorney Docket: 02EK-106093

**CERTIFICATE OF
MAILING/TRANSMISSION**

(37 C.F.R. § 1.8A)

I hereby certify that this correspondence is,
on the date shown below, being:

(X) deposited with the United States
Postal Service with sufficient postage as
first class mail in an envelope addressed to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450.

() transmitted by facsimile to the Patent
and Trademark Office.

2/13/04

Date

Jordan Wilson

INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. §1.56 AND §§1.97-1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, CA 22313-1450

Sir:

The citations listed on the enclosed PTO-1449 Form are submitted under 37 C.F.R.
§§1.97 and 1.98, and in compliance with the duty of disclosure as defined in 37 C.F.R. §1.56.

The Examiner is requested to make these citations officially of record in the application.
This Information Disclosure Statement is being submitted before receipt of the first Office
Action for the above-identified application, therefore, pursuant to 37 C.F.R. §1.97, no fee or
certification is required.

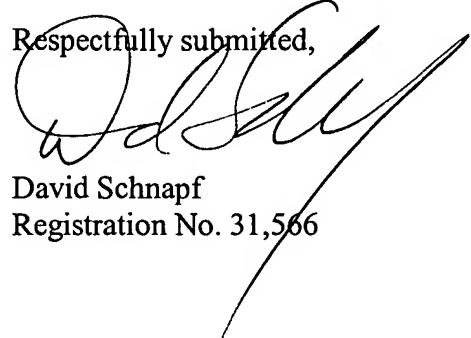
This Information Disclosure Statement is not to be construed as a representation or
admission that any of the listed citations, by itself or in combination with other information, is
material to patentability, is, in fact, prior art, or establishes or a *prima facie* case of
unpatentability of any claim in the above-identified application. Additionally, this Information

Disclosure Statement is not to be construed as a representation that a further search of the art has been made by Applicants, or that additional information relevant to the examination of this application does not exist unbeknownst to Applicants.

February 13, 2004

SHEPPARD MULLIN
RICHTER & HAMPTON LLP
Four Embarcadero Center, 17th Floor
San Francisco, CA 94111-4106
Telephone (415) 434-9100
Facsimile (415) 434-3947

Respectfully submitted,


David Schnapf
Registration No. 31,566

FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT		02EK-106093	10/761,619
(Use several sheets if necessary)		APPLICANT: Shigenori Aoki, et al.	
		FILING DATE: January 21, 2004	GROUP ART UNIT: Unknown

*O I P E JCB
FEB 18 2004
PATENT & TRADEMARK OFFICE*

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL	DOCUMENT NUMBER	DATE	NAME	Class	Subclass	Filing Date If Appropriate	
A1	6,441,955 B1	08/27/2002	Takatsu, et al.				
A2	6,546,163 B2	04/08/2003	Thackara				
A3	6,553,175 B2	02/22/2003	Jaspan				
A4							
A5							
A6							
A7							
A8							

FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLAT'N	
						yes	no
B1							
B2							

OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)

C1	
C2	

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).